

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

REC'D 20 JUL 1999

WIPO PCT

Applicant's or agent's file reference GRENP001W0	FOR FURTHER ACTION See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)	
International application No. PCT/US98/17472	International filing date (day/month/year) 21 AUGUST 1998	Priority date (day/month/year) 22 AUGUST 1997
International Patent Classification (IPC) or national classification and IPC IPC(6): G06F 15/21, 15/30, 17/60, 15/20, 15/24 and US Cl.: 705/37		
Applicant GRENEX CORPORATION		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of 4 sheets.

☐ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority. (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 0 sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of report with regard to novelty, inventive step or industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☐ Certain defects in the international application
- VIII ☐ Certain observations on the international application

Date of submission of the demand  16 MARCH 1999	Date of completion of this report  06 APRIL 1999
Name and mailing address of the IPEA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231	Authorized officer EMANUEL TODD VOELTZ <i>For [Signature]</i>
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**I. Basis of the report**

1. This report has been drawn on the basis of *(Substitute sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments).*

- ☒ the international application as originally filed.
- ☒ the description, pages 1-38, as originally filed.  
pages NONE, filed with the demand.  
pages NONE, filed with the letter of \_\_\_\_\_.  
pages \_\_\_\_\_, filed with the letter of \_\_\_\_\_.
- ☒ the claims, Nos. 1- 168, as originally filed.  
Nos. NONE, as amended under Article 19.  
Nos. NONE, filed with the demand.  
Nos. NONE, filed with the letter of \_\_\_\_\_.  
Nos. \_\_\_\_\_, filed with the letter of \_\_\_\_\_.
- ☒ the drawings, sheets/fig 1-10, as originally filed.  
sheets/fig NONE, filed with the demand.  
sheets/fig NONE, filed with the letter of \_\_\_\_\_.  
sheets/fig \_\_\_\_\_, filed with the letter of \_\_\_\_\_.

2. The amendments have resulted in the cancellation of:

- ☒ the description, pages NONE.
- ☒ the claims, Nos. NONE.
- ☒ the drawings, sheets/fig NONE.

3. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the **Supplemental Box** Additional observations below (Rule 70.2(c)).

4. Additional observations, if necessary:

NONE

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/US98/17472

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. STATEMENT**

Novelty (N)

Claims	<u>1-168</u>	YES
Claims	<u>NONE</u>	NO

Inventive Step (IS)

Claims	<u>1-168</u>	YES
Claims	<u>NONE</u>	NO

Industrial Applicability (IA)

Claims	<u>1-168</u>	YES
Claims	<u>NONE</u>	NO

**2. CITATIONS AND EXPLANATIONS**

Claims 1-168 meet the criteria set out in PCT Article 33(2)-(4), because the prior art does not teach or fairly suggest communicating from a first participant to the offer matching system a first description of a first offer; associating the first offer with a first identifier, the first identifier not associated with any offer other than the first offer; if the first description does not disclose the first identifier, then communicating the first identifier from the offer matching system to the first participant in a manner that discloses to the first identifier is associated with the first offer; communicating from a second participant to the offer matching system a description of a second offer; the offer matching system's executing the first offer at least in part against the second offer in accordance with a set of rules that govern the operation of the offer matching system; if a first discloser, the first discloser not being the same as the first participant, does not already possess information which discloses that the first identifier is associated with the first offer and that a first related person satisfies a first condition selected from the group consisting of: the first offer is for the benefit of the first related person, the first offer is for the account of the first related person, the first related person made an investment decision to make the first offer, the first related person has a financial interest in the first offer, the first related person is financially responsible for the first offer, the first related person is acting as an agent with respect to the first offer, and the first related person is acting as a principal with respect to the first offer, then the first participant possesses information which discloses that the first identifier is associated with the first offer, communicating the first identifier from the first participant to the first discloser in a manner which discloses to the first discloser that the first related person satisfies the first condition; after the first discloser possesses information which discloses that the first identifier is associated with the first offer and that the first related person satisfies the first condition, communicating from the first discloser to the offer matching system a first request for information, wherein the first request includes the first identifier; avoiding public (Continued on Supplemental Sheet.)

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Boxes I - VIII

Sheet 10

**V. 2. REASONED STATEMENTS - CITATIONS AND EXPLANATIONS (Continued):**

disclosure that the first related satisfies the first condition; and in response to the first request, and without the offer matching system's determining that the first request was made by a person entitled to receive confidential information concerning the first offer, communicating from the offer matching system to the first disclosee a first data item, wherein the first data item concerns the first offer, and before receiving the first data item, the first disclosee does not possess information which discloses that the first data item concerns the first offer, and whereby the first disclosee, which already possesses information which discloses that the first discloses that the first related person satisfies the first condition, gains possession of information which discloses that the first data item concerns the first offer.

----- NEW CITATIONS -----  
NONE